Diskette Reporting Program Instructions for Holders of Unclaimed Property Version 6.5.2

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California State Controller

ONLY ACCEPTABLE FOR LIFE INSURANCE COMPANIES
REMIT REPORT DUE: DECEMBER 1 - 15, 2008

July 2008

Contents

Introduction

The State of California's Unclaimed Property Law (Code of Civil Procedure, Section 1500 et seq.) requires organizations to review their records annually to determine if they are holding any funds, securities, or other property that has been unclaimed for the required dormancy period. "Holders" include business associations, banking and financial organizations, life insurance corporations, and others holding property belonging to another person. The law requires these holders to report such unclaimed property to the State Controller's Office (SCO).

The SCO accepts the **Standard NAUPA II format**, which is the national standard for reporting unclaimed property to the states. **The CA NAUPA II and the CA Magnetic Media (Diskette Reporting Program) formats will only be accepted for life insurance companies through the December 1-15, 2008 remit reporting cycle.** ***The SCO recommends that all holders use the Standard NAUPA II format.*** The SCO also urges all holders to submit reports in an electronic format to expedite processing and to ensure accurate processing of the reported information. All paper reports submitted that include 50 or more properties will be returned to the holder to submit in an electronic format as prescribed by the SCO. For free unclaimed property reporting software, please see the National Association of Unclaimed Property Administrators (NAUPA) Web site.

This user's guide is not intended to be the sole source of information regarding the holder's legal obligations under the Unclaimed Property Law. Each organization should review the entire law to ensure that it meets all reporting requirements. Review of the law should be ongoing, as revisions to the statutes may cause changes in reporting requirements.

To ensure complete, accurate, and timely reporting of unclaimed property, this user's guide and all related materials should be forwarded to the person(s) in the organization responsible for the preparation of unclaimed property reports. It should be noted that, when the reports are prepared by a reporting service, quality and accuracy remain the responsibility of the organization for whom the report is prepared.

The SCO is committed to making reporting requirements as simple as possible for the holder community. Unclaimed Property forms, reporting instructions, laws, and regulations are available at the SCO's web site at www.sco.ca.gov. Holders are also encouraged to reference the updated *General Reporting Instructions for Holders of Unclaimed Property.* Please continue to check the SCO's web site for further updates. If you have any questions, please call the Unclaimed Property Reporting Unit at (916) 464-6284 or e-mail ucpreporting@sco.ca.gov

Special Reporting Instructions

The State has enacted reporting changes as a result of the passage of Senate Bill 86. This bill was passed in compliance with a federal court preliminary injunction that required the State to modify its notice practices. A summary of reporting requirements under this new law is as follows:

Overview

- Holders are required to file a report without remittance before November 1, 2008, or before May 1, 2009 for life insurance companies.
- The SCO is required to send a notice to all owners included on these reports with a property value of $50 or more within 165 days. The notice will alert the owner that property in possession of the holder will be transferred to the state unless the owner contacts the holder regarding the property.
- Holders are required to file a report and remit property to the SCO between June 1 and June 15, 2009, or between December 1 and December 15, 2008 for life insurance companies (pertaining to May 2008 Notice Reports). The SCO will make arrangements to collect safe deposit boxes at a later date.

Holder Due Diligence – The holder's responsibility to notify owners of their property six to twelve months before the property becomes reportable or transferable is still in effect. (Reference Code of Civil Procedure (CCP) sections 1513.5, 1516(d) and 1520(b)). There are no changes to this requirement. See our Holder Due Diligence Sample Letter.

Holder Notice Report – A Notice Report (***without*** property remittance) shall be filed before November 1, 2008, and before May 1, 2009 for life insurance companies.

a) ***Do not remit*** any property with the Holder Notice Report due before November 1 (or before May 1 for life insurance companies).

b) ***Report Format*** - Reports must be submitted in one of the following formats:

1. Standard NAUPA II
   - FREE Reporting Software available at www.unclaimed.org
2. Paper (If Reporting Fewer Than 50 Properties Only)

EXCEPTION FOR LIFE INSURANCE COMPANIES: In addition to the above two formats, the following will be accepted for the life insurance companies through the **December 1-15, 2008 remit reporting cycle ONLY.**

3. CA NAUPA
4. CA Magnetic Media
5. Diskette Reporting Program

Holders are also encouraged to reference the *General Reporting Instructions for Holders of Unclaimed Property.*

c) ***Owner Information*** **-** Previous requirements will remain in effect. List all known owner and property information (as prescribed by the SCO), such as ***owner name, Social Security number, last known address, property type, property amount, and date of last contact by the owner.***

d) ***Holder Contact Information (all formats):***

   i. ***First Holder Contact*** – The SCO will use the first holder contact information to contact the holder with questions regarding the report.
   ii. ***Second Holder Contact*** – The SCO will use the second holder contact information as a property owner contact so that the property owner may contact the holder about their property. The SCO is required to send a notice to all property owners with accounts valued at $50 or more prior to the transfer of property from the holder to the SCO. The SCO prints the contact information on the notice sent to owners. The owners will be instructed to contact the holder regarding their property to prevent the transfer to the SCO. If the holder provides only one contact, it will be used for both purposes.

e) ***Submit required UCP forms*** for reporting unclaimed property. A hard copy of the UFS-1 is required for each report. This form has been modified to include holder contact information for property owners and agent contact information.

Holder Remit Report – A Holder Remit Report shall be filed with the remittance and delivery of the property as follows:

a) ***Due Dates*** **-** The Holder Remit Report along with the delivery or remittance of all remaining unclaimed property is due no sooner than June 1, 2009, and no later than June 15, 2009, or for life insurance companies, no sooner than December 1, 2008, and no later than December 15, 2008 (pertaining to May 2008 Notice Reports).

b) ***Report Format*** – Reports must be submitted in one of the following formats:

   1. Standard NAUPA II
      - FREE Reporting Software available at www.unclaimed.org
   2. Paper (If Reporting Fewer Than 50 Properties Only)

   EXCEPTION FOR LIFE INSURANCE COMPANIES: In addition to the above two formats, the following will be accepted for the life insurance companies through the **December 1-15, 2008 remit reporting cycle ONLY.**

   3. CA NAUPA II
   4. CA Magnetic Media
   5. Diskette Reporting Program

c) ***Owner Information*** **-** Previous requirements will remain in effect. List all known owner and property information (as prescribed by the SCO), such as ***owner name, Social Security number, last known address, property type, property amount, and date of last contact by the owner.***

d) ***Holder Contact Information*** – The SCO will use the first holder contact information to contact the holder with questions regarding the report. A second holder contact is not required on the Holder Remit Report.

e) ***Required Forms*** – A hard copy of the UFS-1 form is required with every report. Please note that this form has been modified to include an affirmation stating that all accounts reported on the Holder Notice report that are not reported on the Holder Remit Report are omitted because the property is no longer considered unclaimed due to owner contact or return of the property to the owner. The SS-1 form is required for all reports that include securities that are being reported and remitted.

f) ***Accounts Included on the Holder Notice Report that Are No Longer Unclaimed***– For owner accounts that were reported on the Holder Notice Report that are no longer unclaimed because of owner contact prior to the due date of the holder Remit Report, the holder will exclude the owner accounts from the report. Please note that the holder will be signing an affirmation on the UFS-1 to verify that all accounts that were reported on the Holder Notice Report, but not included on the Holder Remit Report are omitted because the property is no longer considered unclaimed due to owner contact or return of the property to the owner.

g) ***New Accounts not Included on the Holder Notice Report*** – If the holder identifies accounts that were not included on the original Holder Notice Report, the holder must not include those owner accounts on the Holder Remit Report. California law requires that before unclaimed property can be transferred to the state, the SCO must send a notice to the owner to give them the opportunity to claim their property from the holder before it is transferred. Therefore, any new properties identified that were not included on the Holder Notice Report should be reported on a separate Supplemental Holder Notice Report and not included on the Holder Remit Report. For reports received after January 31, the Holder Remit Report due date will be no less than seven months nor more than seven and a half months after the date the Notice Report is filed.

Holder Assistance

Contact Information

Visit our Web site:	www.sco.ca.gov
Inquire via e-mail	ucpreporting@sco.ca.gov
General Reporting Inquiries	(916) 464-6284
Compliance Unit	(916) 464-6088
Remitting Securities	(916) 464-6244
Electronic Funds Transfer Unit ($20,000 or more must be remitted via EFT)	(916) 464-6220
Claims Research	(800) 992-4647

Mailing Address:

Mail report to:

Office of State Controller John Chiang
Unclaimed Property Division
P.O. Box 942850
Sacramento, California 94250-5873

For courier delivery services, use the following street address:

Office of State Controller John Chiang
Unclaimed Property Division
10600 White Rock Road
Rancho Cordova, California 95670

Diskette Reporting Program Development and Review

Report Requirements

It is the responsibility of each organization, prior to preparing unclaimed property reports, to review the law to ensure that it understands all requirements. Questions regarding the reporting process may be directed to the Unclaimed Property Division's Reporting Unit at (916) 464-6284.

The SCO accepts the **Standard NAUPA II format**, which is the national standard for reporting unclaimed property to the states. **The CA NAUPA II and the CA Magnetic Media (Diskette Reporting Program) formats will <u>only</u> be accepted for life insurance companies through the December 1-15, 2008 remit reporting cycle.** ***The SCO recommends that all holders use the Standard NAUPA II format.*** The SCO also urges all holders to submit reports in an electronic format to expedite processing and to ensure accurate processing of the reported information. All paper reports submitted that include 50 or more owners will be returned to the holder to submit in an electronic format as prescribed by the SCO. For free unclaimed property reporting software, please see the National Association of Unclaimed Property Administrators (NAUPA) Web site.

A holder must submit a Holder Face Sheet (Form UFS-1) for each report. The total on the UFS-1 must match the amount reported on the diskette or CD.

When reporting securities, in addition to the UFS-1, the holder is also required to complete and submit a Securities Summary (Form SS-1)

Holders are required to remit unclaimed property payments of $20,000 or more via Electronic Funds transfer (EFT). Please note that remittances of $20,000 or more that are not submitted via EFT will be subject to penalties (CCP 1532). Additionally, electronic fund transfers do not have a required minimum amount, so remittances of less than $20,000 may also be submitted via EFT. For further information, please refer to the *Electronic Funds Transfer Information Guide*.

Multiple reports submitted on CD or diskette must be submitted with a list of each holder reported and the corresponding dollar amount.

Reports must include all property that has remained unclaimed for the required dormancy period as of June 30 (or the end of the holder's fiscal year).

It is imperative that holders file complete and accurate reports in accordance with the holder reporting instructions and the Unclaimed Property Law. Failure to follow these instructions may result in a report being returned to the holder for correction and may result in an assessment of fines. (CCP Section 1576)

Key Features

The Diskette Reporting Program enables holders to prepare their reports to the State. Specifically, it enables holders to:

- **Manage Unclaimed Property Data** – The Diskette Reporting Program includes a database that facilitates information management.
- **Produce Required Forms –** The Diskette Reporting Program produces forms UFS-1 and SS-1 for each report in the database.
- **Combine Reports into One File –** The Diskette Reporting Program combines up to five reports, from one or more holders, into a single file. This eliminates the need to file these reports separately.
- **Access Reference Information –** The appendices of the Diskette Reporting Program manual contain reporting codes and escheat periods.
- **Obtain On-Screen Help –** The Diskette Reporting Program contains a series of help menus that can be opened from any screen. The Help system includes detailed instructions, a glossary, and codes for property types, states, countries, and ownership types.

Tutorial

This chapter describes the step-by-step process for using the unclaimed property reporting database, version 6.5.2. The information that will be entered in the practice examples is fictitious and should be deleted from the database after the tutorial is complete. For further description of the data fields that appear on each of the screens, consult the online glossary, accessible by clicking on "Help."

Navigation Tools

This section contains information on the tool bar, keyboard commands, and the most frequently used screens. This chapter supplements information provided in the diskette program's Help system. To obtain additional information on any of the screens in this chapter or on those not mentioned, select "Help" on any of the screens.

Tool Bar

On the main screen there is a tool bar. This bar is used to navigate to other screens and to edit the information on the record(s). The tool bar consists of several buttons.

- To view a brief description of each button's function, use the mouse to move the arrow key over the button and hold it there for a couple of seconds.
- The first five buttons allow navigation to the Holder, Report ID, Property, Agent, and Security Issue screens.
- The next five buttons deal with editing information on a record.
- The next four buttons allow movement through the records.
- The next three buttons are used to manage UCP report files.
- The next three buttons are used for printing forms and reports.
- The last button is for the Help screens. In addition, each screen may have one to two additional buttons to execute other functions.

Exercise extreme caution when using the Delete button. This function is for deleting an entire record. The Delete button ***must not*** be used to delete information from individual fields. When an entire record is deleted, all records that are attached to it are also deleted. For example, a holder can submit either one or several reports. Therefore, a holder record may have one or more report records attached to it. Deleting a holder record, such as for the parent, would also delete all of the report records attached to it, such as for the children. Additionally, if the report records have any property records attached, such as for the grandchildren, they also would be deleted.

Keyboard Commands

On the menu bar, certain letters are underlined. As with all Windows applications, these underlined letters indicate a way to execute the button's function without using the mouse.

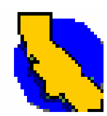
- To execute a function, hold down the **Alt** key while pressing the letter that is underlined on the button. For example, to view the Screens menu on the screen below, press **Alt + S**.

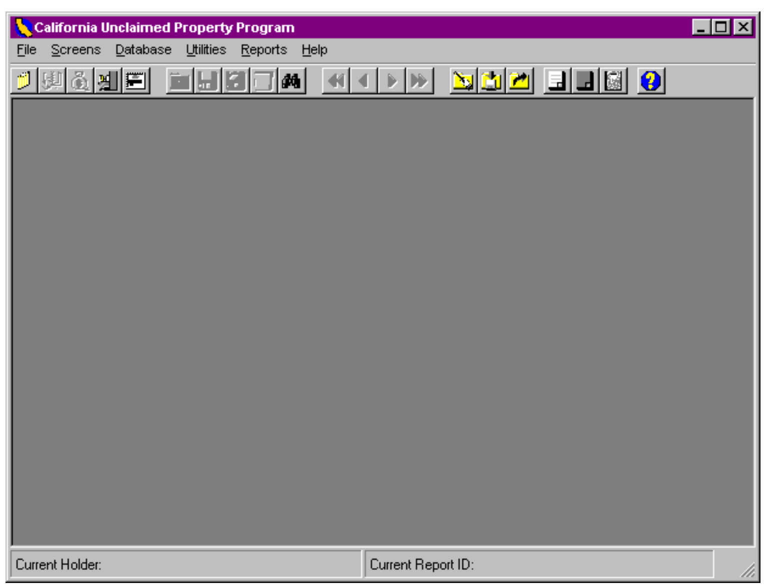
There are several key combinations that can be used to execute the functions on the menu bar.

- To view a list of keyboard combinations, open the Help menu by clicking on the **Help** button.

- Click on **Quick Key Commands** and then on **List of Key Combinations**.

To start the program, click on the **UCP Diskette** icon, which brings up the screen shown below.





To proceed, use either the tool bar or the keyboard commands; instructions for both are included in the practice examples.

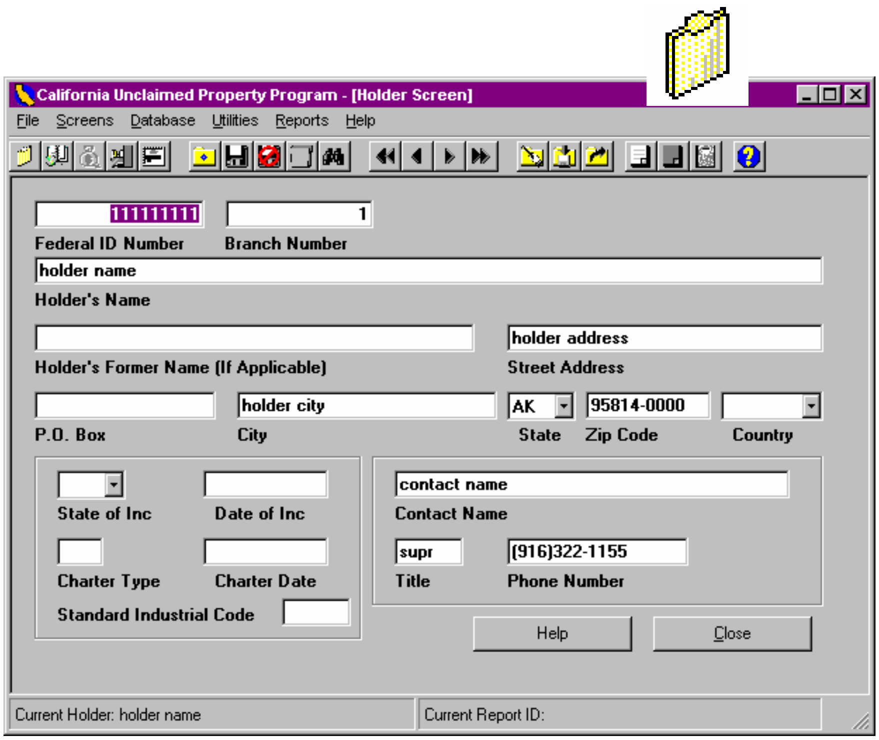
Adding Multiple Branches to the Federal Identification Number

- Go to the Holder Screen.
- Click on **Add a New Record**.
- Retype all holder information. (The branch number cannot be changed within an existing Holder Information Screen.)
- **Save** information.

Adding a Holder Record

The first step in creating an unclaimed property report is to add a holder record to the database. A "holder" is a financial institution, corporate entity, or other business association holding property that has been unclaimed for the required dormancy period. The holder contact information will be used by the SCO to contact the holder with questions regarding the report.

- Select the File menu from the screen shown above and click on **New Report** (or press **Ctrl + H**). The Holder Screen will be opened, and the holder information may now be entered in the fields.



- Enter the following information, using the tab key to move from one field to the next.

Federal ID – 100000000

Branch Number – 100

Holder's Name – XYZ Savings and Loan

For demutualized companies and related reorganizations, place the word DEMUTUALIZED after the holder name.

Example – The Adam Insurance Company DEMUTUALIZED

Holder's Former Name – If not applicable, leave blank.

Street Address – 1010 Main Street

P.O. Box – 1000 – If not applicable, leave blank.

City/State/Zip – Sacramento, CA 95800-1000

Country – Use only if the location is outside of the USA. If the location is within the USA, leave blank.

State of Inc – CA

Date of Inc – 01011990

Charter Type – S – If unknown, leave blank.

Charter Date – 01011990

SIC – 7007 – the Standard Industrial Code, which is kept in the holder's records. If unknown or not applicable, leave blank.

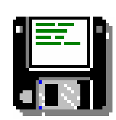
Contact Name – Person to contact

Title – Abbreviated business title of contact

Phone Number – Just the numeric characters of your phone number (you must include a direct contact name and number)

For further information on the above fields, refer to Appendix C, Data Field Descriptions.

- When finished entering the information, click on the **Save** button (or press **Ctrl + S**). This will store the information in the holder record.



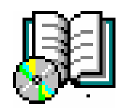
Property Owner Contact-(Previously Agent Screen)

<u>Important Update</u>: Recent legislation, SB 86, requires that the SCO send a notice to all owners with accounts valued at $50 or more prior to the transfer of property from the holder to the SCO. The contact information listed in this section of the Notice Report will be used to generate the notices sent to owners. If this contact information is left blank, the holder contact information will be used. *This section was previously used as an Agent Screen.* Agent contact information is now reported on the UFS-1. Property owner contact information is not required if the report being filed is a Remit Report.

Adding a Report Record

Once the holder record has been saved, the next step is to add a report record.

- On the menu bar, select **Screens** and click on **Report ID** (or click on the **Report ID** button or press **Ctrl + R**).

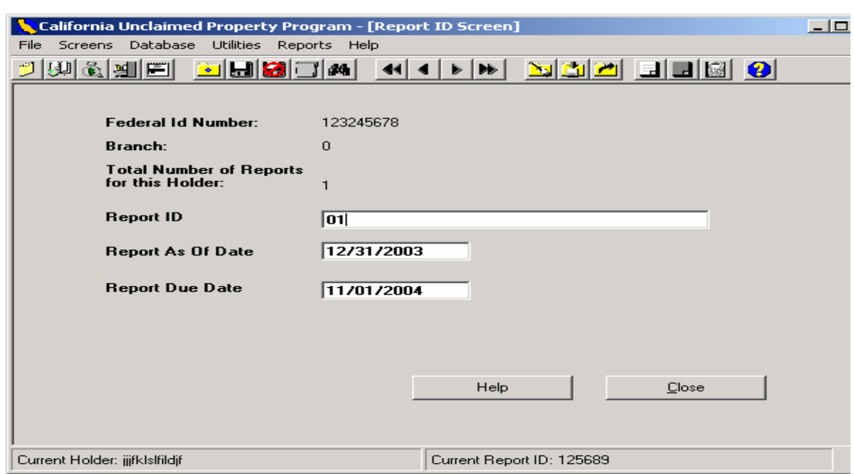


- A message box will appear, indicating that the system could not find any existing report records on the database and that it will be ready for a new report record. After reading the information, click **OK**.

- A second message box will appear, asking if the report will be used for safe-deposit properties.

  Safe-deposit properties cannot be grouped with other properties, and the response to this message box will determine which property type codes will be available for use on the Property Screen. This tutorial does not cover safe-deposit property types.

- After reading this information, click **No**. This will bring up the Report ID screen.



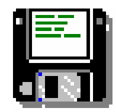
- To add a report record to the holder record, enter the following information in the fields.

  Report ID – 2008 Report – the year of the report.

  Report as of Date – 12/31/2007 – Refer to the Annual Report "as of" Dates section.

  Report Due Date – 11/01/2008 – Refer to the Due Dates section.

- Click on the **Save** button to save the report record.



When a report record is saved, it is linked to the holder record that was previously created. Each holder record may have one or several report records attached to it. The status bar at the bottom of the main screen displays the current holder name.

On the Report ID Screen, the federal identification number and branch number of the current holder will also be displayed. Use caution when deleting holder records. Deleting a particular holder record will delete all report records attached to it, as well as any other records attached to the report records.

Adding Multiple Reports to the Same Federal Identification Number and Branch Number

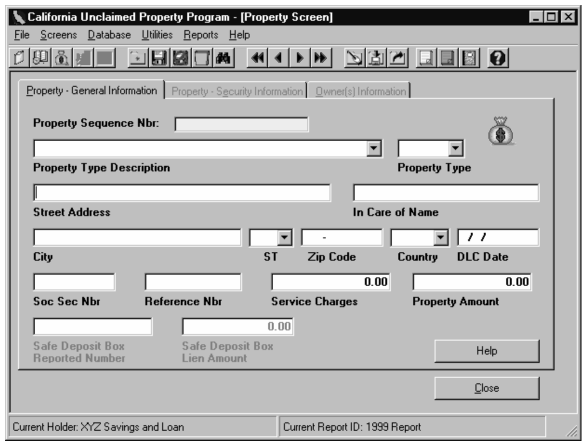
- Go to the Report Screen.
- Click on **Add a New Record**.
- In the Report ID field, change the name of each report that ties in with the current federal ID number and branch number you are working with.

Adding a Non-Security Related Property Record

Although there are many different types of unclaimed property, all of them fall into one of two general categories: non-security related or security related. In this tutorial, one of each type will be added to demonstrate how to use the separate screens that apply to them.

To add a non-security related property record, open the Property Screen by selecting **Screens** on the menu bar and clicking on **Property** (or click on the **Property** button or press **Ctrl + P**). A message box will appear indicating that there are no property records for the current report.

After reading the information, click **OK**. A Property Screen, shown below, will appear. For this example, the first property record to be added will be a dormant checking account.



The first field, Property Type Description, can be used to find the correct type for the property. The next field contains the codes that correspond to the property type descriptions. These codes, known as property type codes, are established and maintained by the SCO and are used to categorize property.

To find the appropriate property type code using the Property Type Description field, search the drop-down list box by either using the mouse or pressing the first letter of the description, or refer to Appendix C.

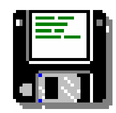
For example, repeatedly pressing the letter “C” causes the system to cycle through all descriptions beginning with “C.” Once the “Checking Account/Demand Deposit” property type description is found, press the tab key to move off of the Property Type Description field; the Property Type Code field will automatically display the correct code that matches the description, which in this case is 56.

To add a property record, enter the following information.

Street Address:	123 A Street
In Care Of Name:	Jane Doe
City:	AnyTown

ST:	CA
Zip Code:	98989
Country:	(leave blank)
DLC Date:	06302004
Soc Sec Nbr:	999-99-9999
Reference Nbr:	12345
Service Charge:	(leave blank)
Property Amount:	100.00

Click on the **Save** button or press **Ctrl + S** to save the property information entered. After the information is saved, the Owner tab on the screen is activated. This means that the system is ready to receive the owner information.



Note: Each tab on the Property Screen is accessible by one of two methods: (1) using the mouse, move the cursor to any tab and click once, which brings the tab to the front; or, (2) using/utilizing the quick key combinations listed below.

- **Alt + P** brings the Property – General Information tab into view.
- **Alt + E** brings the Property – Security Information tab into view (this applies only to security-related properties).
- **Alt + O** brings the Owner(s) Information tab into view.

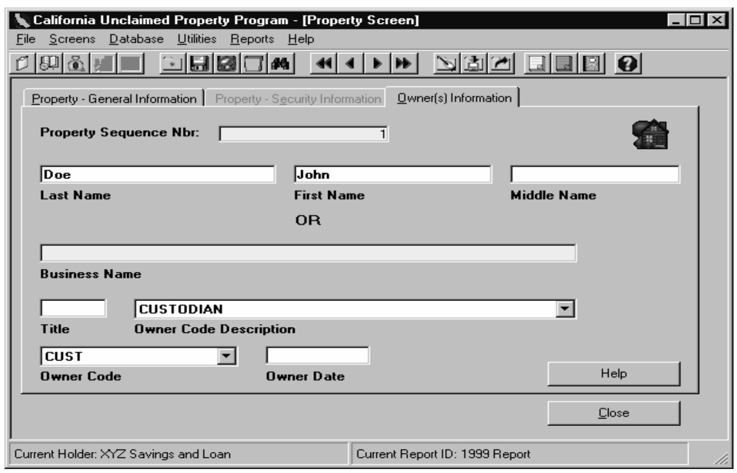
Adding an Owner Record

Each property record must have at least one owner record attached to it. The owner is the person(s) or business entity who has the legal right to make a claim on the property. After adding the property record to the database, click on the **Owner(s) Information** tab or press **Alt + O**. When the Owner Information tab is in view, it is ready for a new owner.

Note: There are three types of owners: individual, business entity, or unknown. The default owner type is individual. This means that Last, First, and Middle Name fields will be activated. To change the owner type to a business, leave the name fields blank and press the tab key until the cursor is in the Business Name field. The system will automatically disable the name fields and enable the Business Name field.

Enter the following owner information:

Last Name:	Doe
First Name:	John
Middle Name:	(leave blank)
Title:	(leave blank)
Owner Code Description:	(see next paragraph)

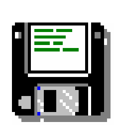


The owner codes are established by the SCO. Access the list of owner codes from the Owner Information tab by clicking on the down arrow next to the Owner Code Description field, or refer to Appendix D. This field operates like the Property Type Description field.

For this exercise, set the cursor in the Owner Code Description field.

- Press the letter "**C**" repeatedly until the word "Custodian" appears; then press the tab key once to leave the Owner Code Description field. The Owner Code field will be automatically set to the corresponding owner code, which in this case is "CUST."

- Click on the **Save** button (or press **Ctrl + S**) to save the owner record to the property record. From the Owner tab, click on the **Property Information – General** tab. An owner record has now been added to the property record.



> ***Note: If an owner is not known, click on the Save button without entering any owner information in the fields. A message box will appear. After reading the message, click Yes to clear the message box. An "Unknown" owner record will be created.***

Adding a Second Owner

- After the first owner has been saved, click on **Add a record** or press **Ctrl + A**.
- At the blank screen, enter the owner information.
- Click on the **Save** button or press **Ctrl + S**.
- For each additional owner, repeat the above-mentioned steps.

Adding a Security-Related Property Record

As previously mentioned, property can be either security-related or non-security-related. In the next example, a security-related property will be added, at the property record screen.

Select **Database** from the menu bar and click on **Add a New Record** (or click on the **Add a New Record** button or press **Ctrl + A**). This will prepare the screen to receive another property record.

The next step is to set the property type code to one that is used for security-related properties.

- Press the tab key until the cursor is in the Property Type Description field.
- Press the letter "**S**" repeatedly until the word "Securities" appears.
- Tab once more to set the property type code to the corresponding code, which is 11.

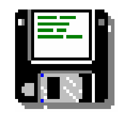
If the property type code is known, the same results can be produced by placing the cursor in the Property Type Code field and repeatedly pressing the "1" key until the number "11" appears.

Next, enter the following information on the Property Screen.

Street Address:	4100 Cameron Park Drive
In Care Of:	(leave blank)
City:	Cameron Park
ST:	CA
Zip Code:	999990000
Country:	(leave blank)

DLC Date:	06302004
Soc Sec Nbr:	999-99-9999
Reference Nbr:	G3775209
Service Charges	0.00
Property Amount:	72.33

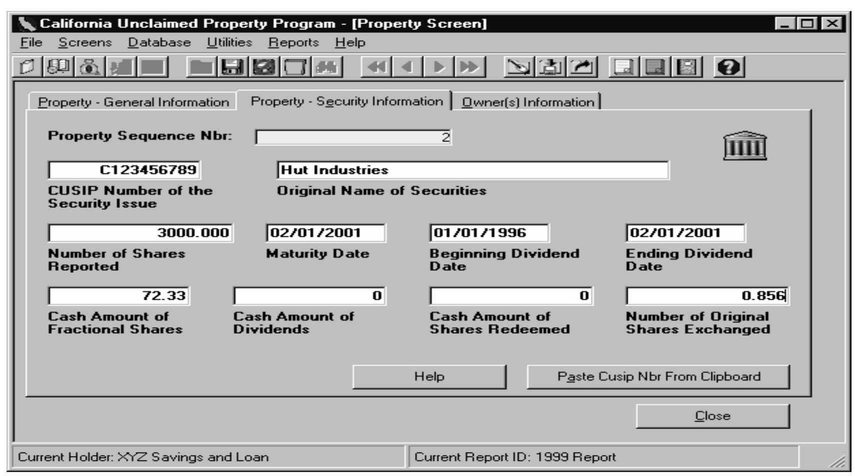
Click on the **Save** button to save the property information entered.



Notice that, once the property information is saved, the system automatically activates the Property Number – Security Information tab on the Property Screen.

Adding Security Information

When entering a security-related property, additional information is required. Enter the information below in the data fields on the screen, then click on the **Save** button.



CUSIP Number:	C123456789
Original Name of Securities:	Hut Industries
Number of Shares Reported:	3000.000
Maturity Date:	02012001
Beginning Dividend Date:	01012004
Ending Dividend Date:	06012004

Cash Amount of Fractional Shares: 72.33

Cash Amount of Dividends: 0.00

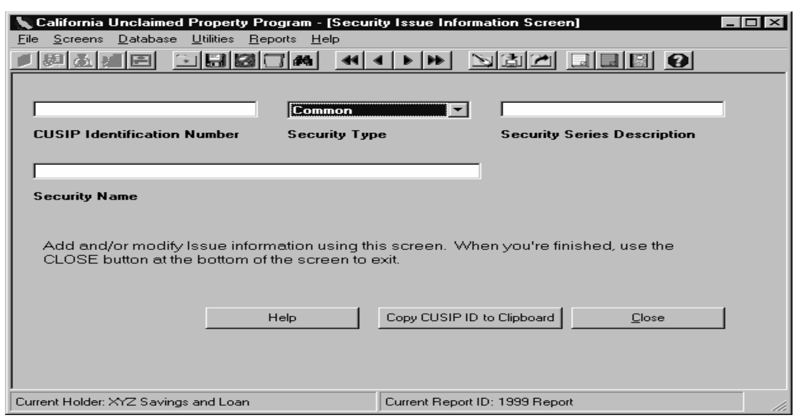
Cash Amount of Shares Redeemed: 0.00

Number of Original Shares Exchanged: 0.856

After the information is saved, the following message box will appear.

This message appears only after entering a CUSIP number for a security issue for the first time. The security issue (stock) information must be entered only once per security issue, which is uniquely identified by its CUSIP number. To proceed, click on **OK** to clear the message box and move to the Security Issue Information Screen. Notice that the system has added the CUSIP number in the CUSIP Identification Number field.

Note: To save time in creating reports that have security-related properties, add the security issue information before adding the report information. The Security Issue Information Screen can be accessed when no other screen is open by pressing Ctrl + I or by selecting the Security Issue Information Screen item under the Screens menu.



Enter the following information, then click on the **Save** button.

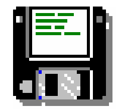
Securities Issue Type: Common

Securities Series Description: (leave blank)

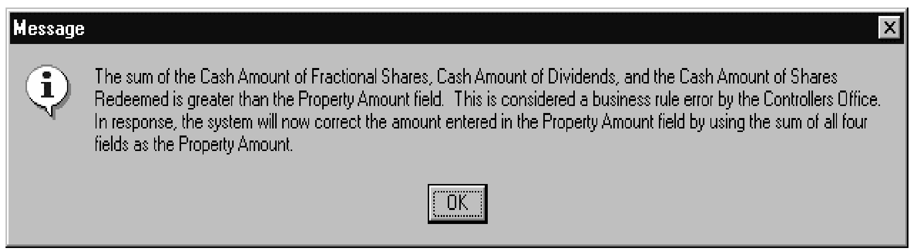
Security Name: Jabba the Hut Inc.

After saving the security issue information to the database, click on the **Close** button near the bottom of the Security Issue Information Screen.

The Property Information – Security Related Screen will appear. Click on the **Save** button to save all of the information on both screens.



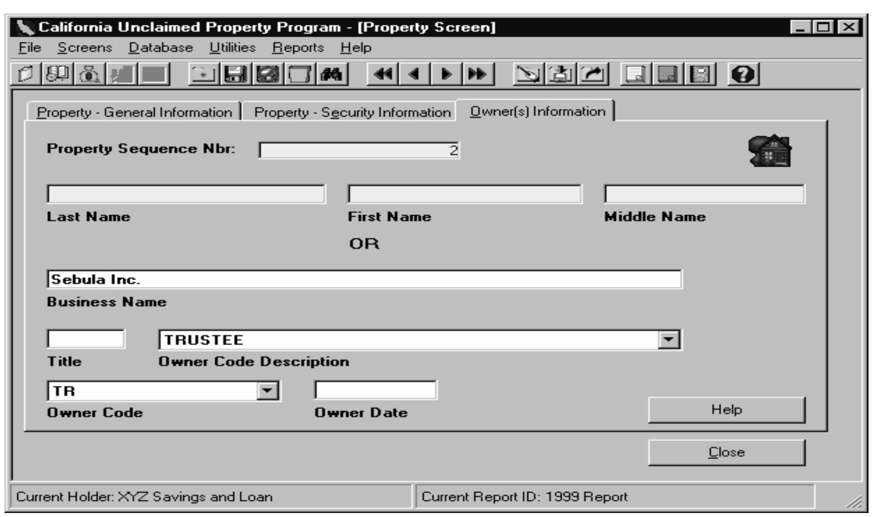
If the Property Amount is equal to or greater than the sum of the Cash Amount of Fractional Shares, the Cash Amount of Dividends, and the Cash Amount of Shares, the record will be saved. If the Property Amount is less than the sum of these three fields, the program will change the Property Amount to the sum of all four fields and will display the following message.



After reading the message, click the **OK** button to clear the message box. Verify that all four fields contain the correct amount.

Click on the **Owner(s) Information** tab. The Owner Screen is now ready to receive owner information concerning the property that was just entered. To add an owner record for a business entity rather than an individual, use the tab key to navigate to the Business Name field.

Notice that the screen was reformatted to gather information about the business entity. Enter the information below, then click on the **Save** button to save the owner record.



Name of Business:	Sebula Incorporated
Title:	(leave blank)
Owner Code Description:	(leave blank)
Owner Code:	TR
Owner Date:	(leave blank)

Notice that, after the owner record is saved, the word "Trustee" is pasted to the Owner Code Description field.

At this point, all the components required for a complete report are in the database. As a result of these practice examples, the database contains one holder record with one report record containing two property records. The next step is to build a report file.

Building a Report File

The report file is the file that will be uploaded to the State Controller's Unclaimed Property Database. This program will take the report IDs specified and build the file.

- To begin, close all open screens by clicking on the **Close** button near the bottom of the screen.
- Click on the **File** menu.
- Select **Create UCP Report File** (or press **Ctrl + R**).
- On the Select Reports for UCP Report File screen, select the **Report ID** of the report(s) to be used in building the file.
- Click on the **check box next to 2007 Report** in the report list box. Then click on the **Create File** button.

Up to five reports may be selected. In this tutorial, only the report created will be used.

The next screen displayed will be the Save As dialog box. This box is asking for the name of the file that will be created. Notice that the default directory of the file is the same as the Diskette Program directory. In the File Name field enter **calucp.dat** and click on **Open**. This begins the process that compiles, into a report file, all of the information from the database pertaining to the Report ID(s). When the process is complete, a message will appear indicating that the file has been successfully created. Click on the **OK** button.

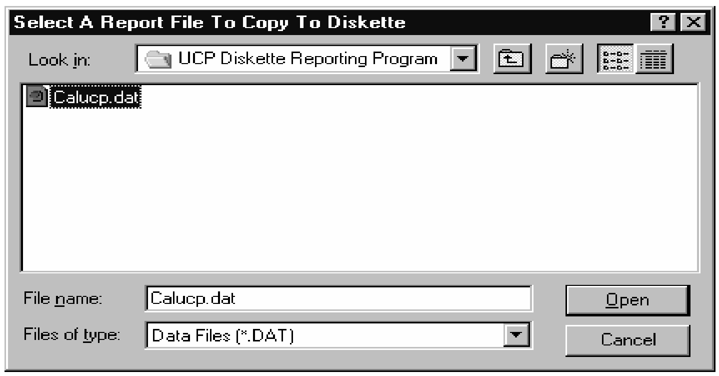
At this point, there is a report file residing on the hard drive that is ready to be copied to a diskette.

Copying a Report File to Diskette

Copying report files to a diskette is a simple process. When the file is less than 1.44 MB in size, experienced Windows users may be more comfortable using Windows Explorer. The Copy UCP Report To Diskette(s) option on the File menu can be used to copy report files that fit on one diskette; it also can be used to separate (i.e., span) and copy onto multiple diskettes any report files that exceed 1.44 MB.

Note: The SCO also accepts files compressed using WinZip. If you choose to compress your report file, write "compressed" on the diskette label. This utility also contains a disk-spanning functionality.

This tutorial uses the Copy UCP Report To Diskette(s) option of the File menu. To begin, use the mouse to select **Copy UCP Report To Diskette(s**) from the File menu. The dialog box pictured below will appear.



- Select the file created earlier named **calucp.dat** (the ".dat" extension was added by the program).
- Insert a blank, formatted diskette into the floppy drive.
- Click on the **Open** button on the dialog box shown above. The program will now copy the file to the diskette.
- When the process is complete, a "file copy complete" message box will appear; click on **OK**. Once the file has been copied, remove the diskette from the drive.

Note: All diskette reports submitted to the Unclaimed Property Division must be on standard high-density, 1.44 MB, 3.5-inch diskette.

Loading a Report to the Database

To verify that you created and copied the correct report to the diskette or CD, you must do the following:

- Verify that the diskette or CD is in the proper drive.
- Use the mouse to select **Load UCP Report from File** from the file menu.
- A dialog box will appear, stating, "Select a UCP Report File to Load to the Database."
- In your "Look In" box, locate floppy or CD drive.
- In the large box, double-click on **calucp00.dat**, the file you copied to the diskette or CD.
- A message box will appear, stating, "File Has Been Loaded," and giving a temporary Report ID. Click on the **OK** button.
- At the file menu, click on **Open Report**.
- Select the assigned temporary ID number from the list (example: Templd-03) and then click on the **Select Report** button.
- This will bring up the report that you have saved to the diskette or CD and you may now verify that it is the correct report to be sent to the SCO.

Printing the Forms

With the report file created and copied to a diskette, the last step is to print the form that must accompany each report. This form is the Holder Face Sheet (Form UFS-1).

Note: The UFS-1 form has been revised. Do not use the system generated form as it is outdated. Refer to our revised UFS-1 form at http://www.sco.ca.gov/col/ucp/holder/rptgformats.shtml

The Securities Summary (Form SS-1) is required when securities are remitted.

Printing a Detail Report

A complete report, with owner and property detail, may be printed for the holder's records.

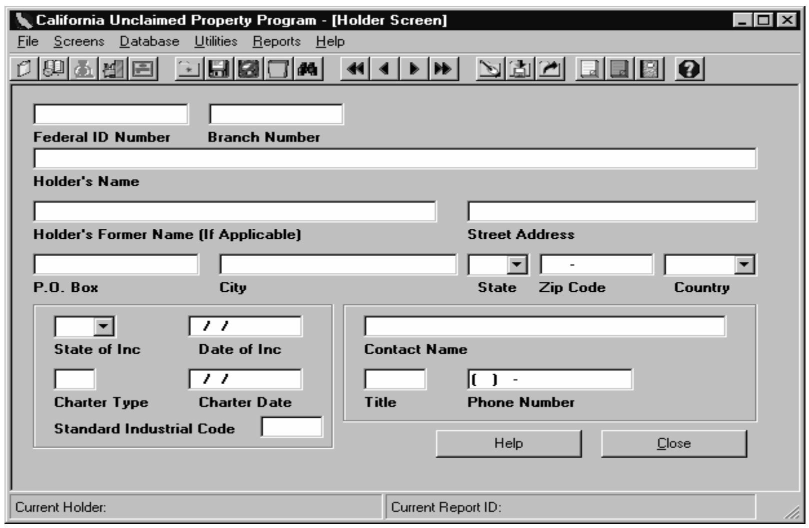
Select the **Reports** menu and click on **Other**, then click on **Detail Report**. The dialog box shown on the previous page will appear. Click on **2007 Report** so that it is highlighted. Next, click on the **Select Report** button. The program will create the detail report and display it on the screen for previewing. Print the detail report by clicking on the **Print** button.

Helpful Hints

This section contains information on the tool bar, keyboard commands, and the most frequently used screens. This chapter supplements information provided in the diskette program's Help system. To obtain additional information on any of the screens in this chapter or on those not mentioned, select **Help** on any of the screens.

Holder Screen

The Holder Screen collects information regarding the institution filing the report(s).



- **Field Information –** When using the program, notice that some of the fields are required. The program indicates this with a message box if the fields are left empty when a save is initiated. Of these fields, the two most important are the Federal Identification Number and the Branch Number. The program uses these fields to construct a unique key for the record. These fields can also be changed. Changing them does not cause any adverse effects; however, the fields will also be changed on any report records attached to the holder record.

Note: If more than one branch is being reported for the same holder, a separate holder record must be created for each branch number. To create a separate holder record, select New Report from the File menu.

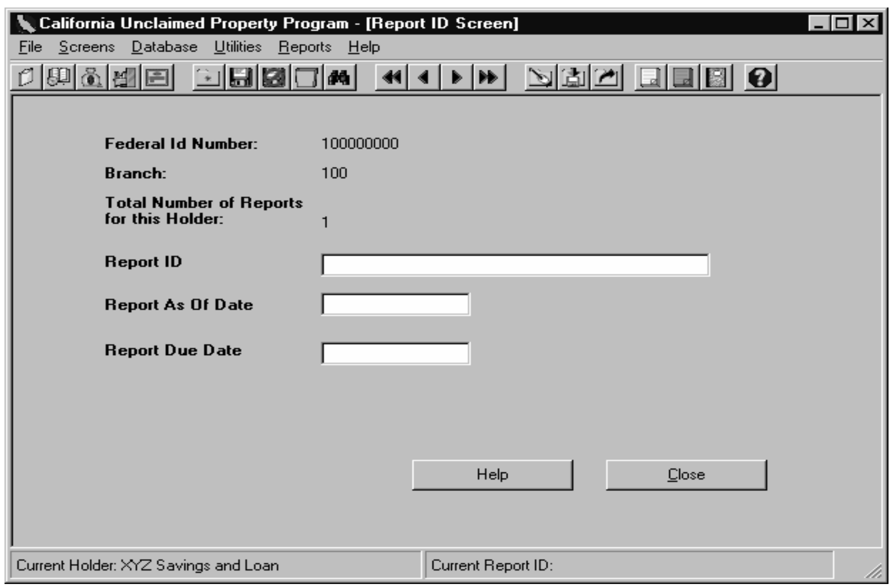
- **Editing –** To make changes to existing holder records on the database, locate the holder record that needs editing by using the navigational buttons (or use the Search screen to find a specific holder record). Make the required changes and click on the **Save** button. To restore the screen with the original data, click on the **Cancel Changes** button instead of clicking on the **Save** button. For more information on editing, such as how to use the Search function, click on the **Help** button.

Property Owner Contact

<u>Important Update</u>:
Recent legislation, SB 86, requires that the SCO send a notice to all owners with accounts valued at $50 or more prior to the transfer of property from the holder to the SCO. The contact information listed in this section will be printed on notices generated from the Notice Report. If this contact information is left blank, the holder contact information will be used. ***This section was previously used to enter Agent contact information. Agent contact information is now reported on the UFS-1 form.*** **Property owner contact information is also required if the report being filed is a Remit Report.**

Report ID Screen

This screen establishes the report on the database.



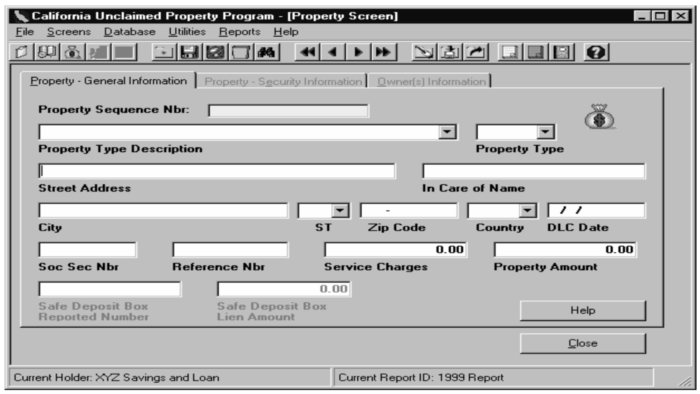
- **Field Information –** The Report ID field requires a unique name for each report on the database. This function allows the program the ability to store multiple reports at the same time.

Note: When reloading a report file to the database, temporary Report IDs in the format of "TEMPID-NN" (where NN is a number between 1 and 99) are assigned. A message box will provide notification of the temporary Report IDs assigned during reloading.

- **Editing** – To make changes to existing report records on the database, locate the report record that needs editing by using the navigational buttons (or use the Search screen to find a specific holder record). Make the required changes and click on the **Save** button. To restore the screen with the original data, click on the **Cancel Changes** button instead of clicking on the **Save** button. For more information on editing, such as how to use the Search function, click on the **Help** button.

Property Screen: General Information

The purpose of the Property Screen is to gather information regarding the property being reported. This screen is vital. Enter as much property information as possible. This screen contains three tabs that allow the user to enter and edit information regarding both the property and the owner(s).



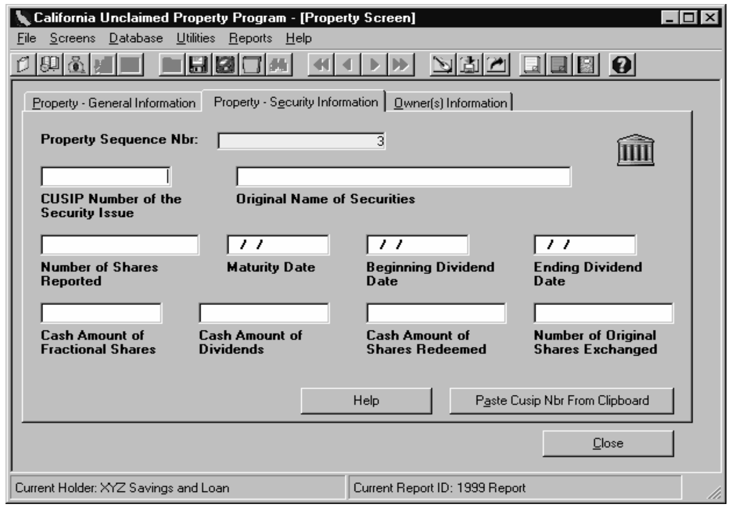
Note: Each property record must have at least one owner record attached to it. When a new property record is saved, the user must click on the Owner(s) Information tab to add at least one owner to the property. If for some reason a property without an owner is added, a message box will appear, stating that a property record does not have at least one owner record.

- **Field Information –** The value entered in the Property Type Code field may cause the rest of the screen to be reformatted to accept specific types of property. For example, entering 41 in this field activates the Safe Deposit Lien Amount and Safe Deposit Box Number fields and requires data to be entered in these fields. Entering property type code 11 activates the Next Page button on the bottom right corner of the screen. This button navigates to the Security Information screen, described later.

- **Editing** – To make changes to existing property records on the database, locate the property record that needs editing by using the navigational buttons (or use the Search screen to find a specific property record). Make the required changes and click on the **Save** button. To restore the screen with the original data, click on the **Cancel Changes** button instead of clicking on the **Save** button. For more information on editing, such as how to use the Search function, click on the **Help** button.

Property Screen: Security Information Tab

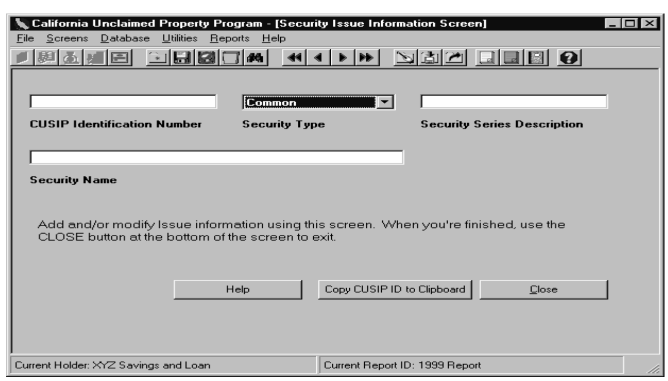
The Security Information tab is used to gather information regarding security-related property types.



- **Field Information –** After you enter the data for the security information record and click on the **Save** button, both the property record and the security information record are saved if the CUSIP identification number for the security issue of the property already exists in the database. If the CUSIP number does not exist in the database, the Security Issue Information screen will open. This screen is described in the next section.
- **Editing** – To make changes to existing security information records on the database, locate the security information record that needs editing by using the navigational buttons (or use the Search screen to find a specific security information record). Make the required changes and click on the **Save** button. To restore the screen with the original data, click on the **Cancel Changes** button instead of clicking on the **Save** button. For more information on editing, such as how to use the Search function, click on the **Help** button.

Security Issue Information Screen

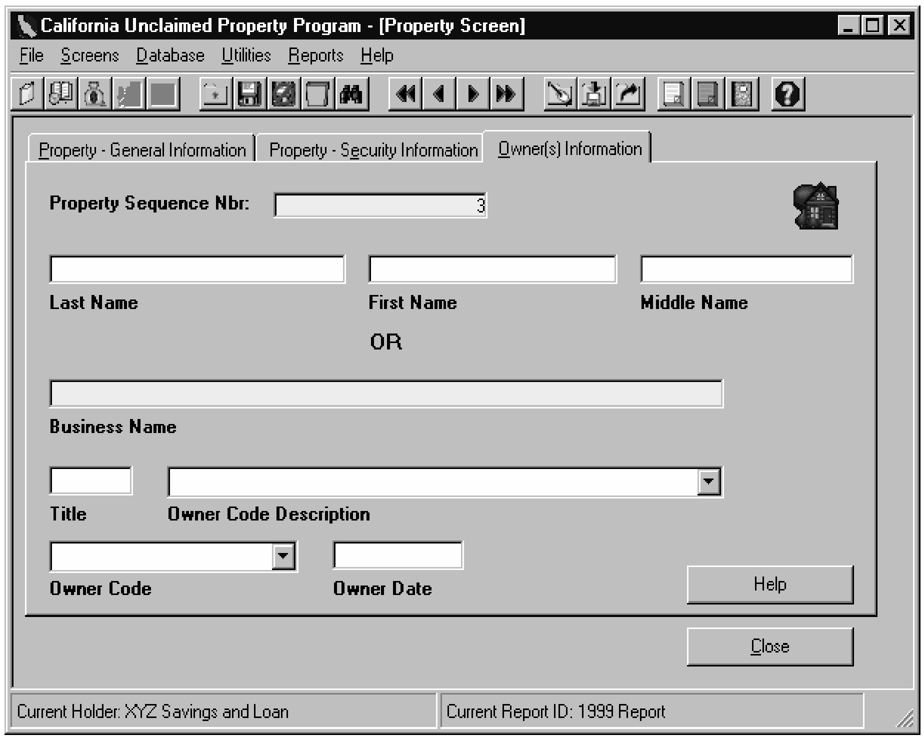
The purpose of the Security Issue Information Screen is to gather and store information concerning stock, bonds, debentures, mutual funds, etc. Once the information is stored, it can be used many times without being re-entered.



- **Editing –** To make changes to existing security issue records on the database, locate the security issue record that needs editing by using the navigational buttons (or use the Search screen to find a specific security issue record). Make the required changes and click on the **Save** button. To restore the screen with the original data, click on the **Cancel Changes** button instead of clicking on the **Save** button. For more information on editing, such as how to use the Search function, click on the **Help** button.

Property Screen: Owner(s) Information Tab

The owner information records gather and store information concerning the owners who have the legal right to file a claim for the property being reported. An owner can be either an individual or a business. If no owner information exists, an "unknown" owner record can be added by leaving the owner information fields blank and clicking on the Save button.

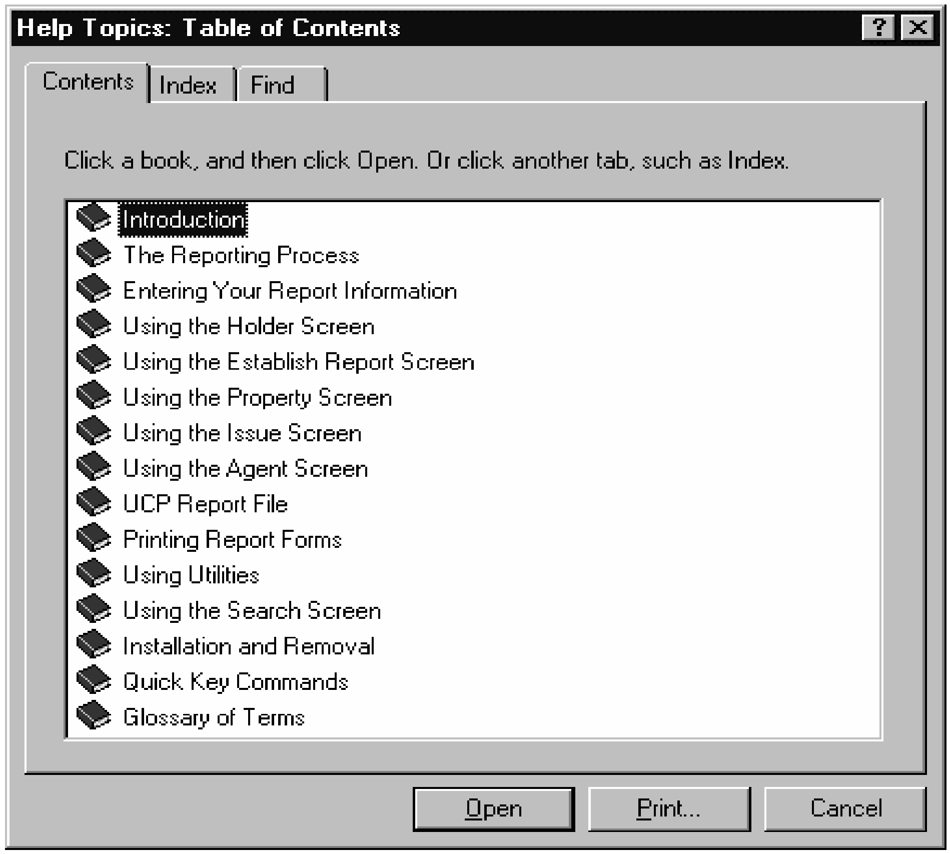


- **Field Information –** The owner record contains fields for either an individual name or a business name. When entering a name in the individual owner name fields, the program reformats the screen by disabling the Business Name field. The individual owner name fields are disabled when a name is entered in the Business Name field.

- **Editing** – To make changes to existing owner records on the database, locate the owner record that needs editing by using the navigational buttons (or use the Search screen to find a specific owner record). Make the required changes and click on the **Save** button. To restore the screen with the original data, click on the **Cancel Changes** button instead of clicking on the **Save** button. For more information on editing, such as how to use the Search function, click on the **Help** button.

Accessing the Help System

There are four ways to access Help while working with the Diskette Reporting Program. One method is to click on the Help button in the tool bar, which accesses the UCP Diskette Help System table of contents. Another way is to click on the **Help** menu and select **Contents**.



A third method of accessing the Help system is to open the screen on which help is needed and click on the **Help** button. This opens the Help menu to the topics related to the current screen.

The program supports Context Sensitive Help for all data fields. Context Sensitive Help, which is the fourth method, can be accessed by using the mouse to place the cursor in a data field and pressing the **F1** key. A Help window appears containing a brief description of the selected data field.

If the information needed is not found in the Help system, read the section in this manual that applies to the subject requiring assistance. If no solution is found, contact the Unclaimed Property Division, Report Unit, at (916) 464-6284.

Appendix

Escheat Periods

California Unclaimed Property Law

Section	Description	Period
1513(a)(b)	Savings, Matured Time Deposits, Demand Deposits (Checking), NOW, plus Interest or Dividends	3 years
1513(c)	Traveler's Checks	15 years
1513(d)	Written Instruments/Cashier's Checks (Banking and Financial Assns.)	3 years
1513(e)	Money Orders	7 years
1513(f)	IRAs, Keogh Plans	3 years
1513(g)	Wages, Commission	1 year
1514	Safe-Deposit Boxes, Safekeeping Repositories	3 years
1515	Funds Held by Life Insurance Companies	3 years
1515.5	Demutualized or Related Reorganization (see Statute)	Varies
1516	Stocks, Dividends, Profit Distributions, Interest	3 years
1517	Liquidating Distributions	6 months
1518	Funds Held by Fiduciaries, Agents	3 years
1519	Funds Held by Government or Governmental Agencies	3 years
1519.5	Ordered Refunds	1 year
1520	Misc. Property Held in Normal Course of Business	3 years
1521	Employee Benefit Trust Distributions	3 years

Data Field Descriptions

Screen Type	Field Name	Field Length	Field Description
Holder Screen	Federal ID Number	9	Provide the holder's federal employer tax identification number. Do not use the holder's state identification number.
	Branch Number	6	Provide the holder's branch number. Tab through this field if not applicable.
	Holder's Name	70	Provide the full name of the current holder or association reporting unclaimed property. **Agents name (those reporting or preparing a report for a holder) should not be entered in this field.** For demutualized companies and related reorganizations, you must place the word DEMUTUALIZED after the holder name. Example: The Adam Insurance Company DEMUTUALIZED
	Holder's Former Name	70	If the present holder is a successor to another who previously held the property, or if the holder has changed names, provide the prior name. Tab through this field if not applicable.
	Street Address	30	Provide the holder's street address.
	P.O. Box	30	Provide the holder's post office box address. Tab through this field if not applicable.
	City	35	Provide the holder's city name.
	State	2	Provide the holder's state code. (For a listing of state codes, click on Codes in the menu bar, then click on State List.) If the holder is located in a foreign country, tab through this field.
	Zip Code	9	Provide the holder's zip code. Enter the 5-digit zip code, then tab to the next field to enter the 4-digit extension, if applicable.

Screen Type	Field Name	Field Length	Field Description
Holder Screen (cont.)	Country	3	Provide the country code if the holder is located in a foreign country. **If the holder is located in the USA, tab through this field.**
	State of Inc	2	If the holder is incorporated, provide the state code for the original incorporation. Tab through this field if not applicable.
	Date of Inc	10	If the holder is incorporated, provide the date of incorporation. Tab through this field if not applicable.
	Charter Type	1	If a financial institution is federally chartered, enter 'F.' If a financial institution is state chartered, enter 'S.' Tab through this field if not applicable.
	Charter Date	10	Provide the date the financial institution was chartered.
	Standard Industrial Code	4	Provide the Standard Industrial Classification (SIC) code, if known. Tab through this field if not applicable.
	Contact Name	30	Provide the name of the contact person who is responsible for preparing the unclaimed property report. **Agent's name (those reporting or preparing a report for a holder) should not be entered in this field.**
	Title	5	Provide the title of the contact person.
	Phone Number	14	Provide the telephone number of the contact person; include the area code.
Property Owner Contact (formerly Agent Contact)	Contact Name	70	Provide the name of the contact person for the property owner to reclaim their property. **Note: Recent legislation, SB86, requires the SCO to notice owners prior to the transfer of property. This contact will be printed on the notices generated from the Notice Report. Agent contact information will now be reported on the UFS-1.**
	Street Address	30	Provide the property owner contact's street address.

Screen Type	Field Name	Field Length	Field Description
Property Owner Contact (formerly Agent Contact - cont.)	City	35	Provide the property owner contact's city name.
	State	2	Provide the property owner contact's state code.
	Zip Code	5	Provide the property owner contact's zip code.
	Country	3	Provide the contact's country code
	Phone Number	14	Provide the property owner contact's telephone number; include the area code
Report Screen	Report ID	64	This is a unique file name for the report and must be provided by the holder.
	Report As Of Date	10	The "as of" date must be either June 30 or the date of the holder's business year-end. If the "as of" date falls between January 1 and June 30, the report is due November 1 of the same year. If the "as of" date falls between July 1 and December 31, the report is due before November 1. For life insurance companies and all insurance corporation demutualization or reorganization proceeds, the due date is May 1 of each year as of December 31 next preceding. Example: Report "as of" date: 6/30/2007 Notice Report due before: 11/01/2007 Remit Report due before: 06/15/2008
	Report Due Date	10	This is the date the report is due, which is November 1 for all holders except life insurance companies and all insurance corporation demutualization or reorganization proceeds, whose reports are due May 1.
Property Screen: General Information	Property Type	2	Provide the property type code (see Appendix C).
	Street Address	30	Provide the owner's last known mailing address.
	City	35	Provide the owner's city name.

Screen Type	Field Name	Field Length	Field Description
Property Screen: General Information (cont.)	State	2	Provide the owner's state code (see Appendix E). If the last known address was a foreign country, tab through this field.
	Zip Code	5	Provide the owner's zip code.
	Country	3	Provide the country code if the owner's last known address is in a foreign country. **If the owner's last known address is in the USA, tab through this field.**
	In Care of Name	40	Provide the "in care of" mailing address name. Tab through this field if not applicable.
	DLC Date	10	Provide the date of last contact by the owner. This is defined as the date of the last communication or activity initiated by the owner concerning the property.
	Soc Sec Nbr	9	Provide the Social Security number if the named owner is an individual, or the federal tax ID number if the named owner is a business.
	Reference Number	15	Provide the account number used to identify the account, check, or other property.
	Property Amount	12	Provide the cash amount to be reported for the owner of the account. Include all interest or earnings accumulated through the date reported. Deduct lawful charges, if applicable.
	Lawful Adjustments	11	Provide the amount of lawful adjustments to the property amount.
	Safe Deposit Box Reported Number	15	Provide the box number for the safe-deposit box if reporting property type 41.
	Safe Deposit Box Lien Amount	5	Provide the amount due holder for any unpaid rent or storage charges and the cost of opening the safe-deposit box.
Property Screen: Security Information Tab	CUSIP Number of the Security Issue	11	Provide the CUSIP (Committee on Uniform Securities Identification Procedures) number for the reported security. The CUSIP is a universal

Screen Type	Field Name	Field Length	Field Description
Property Screen: Security Information Tab (cont.)			security identification number used in trade confirmations and correspondence regarding specific securities and is an important factor in tracking securities. Each issue of common or preferred stock, corporate and municipal bonds, and mutual funds has its own CUSIP.
	Original Name of Securities	30	Provide the name of the original security if the security reported was exchanged for cash and/or another security.
	Number of Shares Reported	13	Provide the number of shares reported for the owner.
	Maturity Date	10	Provide the maturity date of the security. Tab through this field if not applicable.
	Beginning Dividend Date	10	Provide the beginning dividend or interest date for the security. Tab through this field if not applicable.
	Ending Dividend Date	10	Provide the ending dividend or interest date for the security. Tab through this field if not applicable.
	Cash Amount of Fractional Shares	7	Provide the cash amount being reported in lieu of fractional shares. Tab through this field if not applicable.
	Cash Amount of Dividends	11	Provide the cash amount of the dividend. Tab through this field if not applicable.
	Cash Amount of Shares Redeemed	11	Provide the total dollar amount for securities exchanged for cash. For example: Five shares exchanged at $4.20 each for a total of $21.00.
	Number of Original Shares Exchanged	11	Provide the number of original shares that were exchanged for cash or other shares. Tab through this field if not applicable.
Security Issue Information Screen	CUSIP Identification Number	11	Provide the CUSIP number for each reported issue.

Screen Type	Field Name	Field Length	Field Description
Security Issue Information Screen (cont.)	Securities Issue Type	0	Select the issue type from the drop-down box (or press the first letter of the issue type) related to the CUSIP number entered in the CUSIP number field.
	Securities Series Description	6	Provide the issue series description related to the CUSIP number entered in the CUSIP Number field, if applicable.
	Security Name	30	Provide the issue name related to each of the CUSIP numbers entered in the CUSIP Number field.
Property Screen: Owner(s) Information Tab	Last Name	20	Provide the last name of the account owner.
	First Name	20	Provide the first name of the account owner.
	Middle Name	20	Provide the middle name or initial of the account owner.
	Name of Business	60	Provide the business name of the account owner.
	Title	5	Provide the title of the owner (for example, Mr., Mrs., Dr.). For titles that normally follow a last name (Jr., Sr., III, MD), enter one space after the last name in the Last Name field. Tab through this field if not applicable.
	Owner Code	9	Provide the code for the type of ownership (see Appendix D.) Tab through this field if not applicable.
	Owner Date	10	Provide the applicable date only when an ownership code is followed by a date. For example: Ownership Definition – Trust under will of 12/12/99 Ownership Code – TUW Ownership Date – 12/12/1999 Tab through this field if not applicable.

Property Type Codes

Property Code	Property Classification
01	Cash in lieu of fractional shares
02	Units
03	Debentures or bonds
04	Dividends
05	IRAs – securities
06	Liquidating fund – securities
07	Municipal bonds
08	Mutual funds, money market funds
09	Mutual fund earnings, money market fund earnings
10	Shares exchanged for shares
11	Securities
12	Securities exchanged for cash
13	Warrants
14	Rights
15	Liquidating fund earnings
16	Municipal bond earnings
17	Bond interest
25	Aggregate accounts
26	Money orders
27	Traveler’s checks
28	Cashier’s/certified checks
41	Safe-deposit box contents

Property Type Codes (cont.)

Property Code	Property Classification
42	Safekeeping items
43	Savings bonds
55	Annuities
56	Checking accounts, demand deposits
57	Christmas Club accounts
58	Collections
59	Commissions
60	Court settlements
61	Credit balances
62	Death benefits
63	Endowments
64	Escrow checks/deposits/disputed funds
65	Garnishments
66	Gift certificates
67	Inmate trust funds
68	Insurance claims checks
69	Insurance premiums
70	Interest checks
71	IRAs
72	Layaway deposits
73	Liquidating funds
74	Matured/terminated policies
75	Mineral proceeds

Property Type Codes (cont.)

Property Code	Property Classification
76	Other
77	Patient trust funds
78	Pensions, retirement funds
79	Refunds
80	Royalties/residuals
81	Salaries/wages
82	Savings accounts/credit union share accounts
83	Time deposits, CD accounts
84	Trusts
85	Vendor payments

Ownership Codes

Definition	Abbreviation
Administrator	ADMIN
Agent	AGENT
Also known as	AKA
Also known as deceased	AKA DECD
Also known as estate of	AKA EST
Also known as in trust for	AKA ITF
Also known as trustee	AKA TR
Annuitant	ANTNT
Assignee	ASSIGNEE
As trustee for	ATF
Attorney for	ATTY/F
Beneficiary	BENF
Borrower	BORROWER
Buyer	BUYER
Co-conservator	COCONS
Community property	CP
Conservator	CONS
Co-owner	CO-OWNER
Co-trustee	COTR
Court order dated 10/18/1989	CT/ORD (MM/DD/CCYY)
Court order guardian 10/18/1989	CT/OR GDN (MM/DD/CCYY)
Custodian	CUST
Debtor ad item	DEBT/AD

Ownership Codes (cont.)

Definition	Abbreviation
Debtor for	DEBT/FOR
Debtor in	DEBT/IN
Debtor of	DEBT/OF
Deceased	DECD
Deceased insured	DECD INS
Deceased trustee	DECD/TR
Deceased trustee under will of 10/04/1980	DECD TUW (MM/DD/CCYY)
Dependant	DEPEND
Disputed funds	DISP
Doing business as	DBA
Doing business as estate	DBA EST
Doing business as payee	DBA PAYEE
Employee pension trust 10/04/1980	EPT (MM/DD/CCYY)
Employee profit sharing plan 10/04/1980	EPSP (MM/DD/CCYY)
Estate	EST
Estate beneficiary	EST BENF
Estate payee	EST PAYEE
Estate trustee	EST TR
Estate under agreement 10/04/1980	EUA (MM/DD/CCYY)
Executor	EXEC
Executor under the will of	EXEC UWEE
For benefit of	FBO
Guardian	GDN
Guardian ad litem	GDN AD LT

Ownership Codes (cont.)

Definition	Abbreviation
Guardian estate	GDN EST
Guardian trustee	GDN TR
Heir	HEIR
Incompetent estate	INCPT EST
Insured	INS
In trust for	ITF
Joint tenant	JT
Joint tenant under agreement 10/04/1980	JTUA (MM/DD/CCYY)
Joint tenant writ of survivorship	JT WROS
Joint trustees	J/TR
Life tenant under the will of	LF/TN UW
Minor	MINOR
Minor estate	MINOR EST
Minor trustee	MINOR TR
More than one owner – "and"	OWN/AND
More than one owner – "or"	OWN/OR
Natural guardian	NAT GDN
Owner	OWNER
Patient	PATIENT
Payable on death	POD
Payee	PAYEE
Payee (1), Payee (2), etc. (use numbers only)	# PAYEE [1]
Pension fund 10/04/1980	PF (MM/DD/CCYY)

[1] Can be any number (1 payee, 2 payee, 3 payee).

Ownership Codes (cont.)

Definition	Abbreviation
Pension & profit sharing plan 10/04/1980	PPSP (MM/DD/CCYY)
Pension plan & trust 10/04/1980	PPT (MM/DD/CCYY)
Power of attorney	P/ATTY
Profit sharing plan (trust) 10/04/1980	PSP (MM/DD/CCYY)
Purchaser	PURC
Receiver	REC
Retirement trust	RT
Retirement trust under agreement 10/04/1980	RTUA (MM/DD/CCYY)
Successor co-trustee	SUC COTR
Successor trustee	SUC TR
Tenants in common	TC
Trustee	TR
Trustee payee	TR PAYEE
Trustee under agreement 10/04/1980	TUA (MM/DD/CCYY)
Trustee under agreement for benefit of 10/04/1980	TUA FBO (MM/DD/CCYY)
Trustee under will of 10/04/1980	TUW (MM/DD/CCYY)
Uniform gift to minors act ca 10/04/1980	UGMA CA [1] (MM/DD/CCYY)
Writ of survivorship	WROS

[1] Can be blank or any of the 50 states' two-character code.

State Codes

State	Initial	State	Initial
Alabama	AL	Montana	MT
Alaska	AK	Nebraska	NE
Arizona	AZ	Nevada	NV
Arkansas	AR	New Hampshire	NH
California	CA	New Jersey	NJ
Colorado	CO	New Mexico	NM
Connecticut	CT	New York	NY
Delaware	DE	North Carolina	NC
District of Columbia	DC	North Dakota	ND
Florida	FL	Ohio	OH
Georgia	GA	Oklahoma	OK
Hawaii	HI	Oregon	OR
Idaho	ID	Pennsylvania	PA
Illinois	IL	Rhode Island	RI
Indiana	IN	South Carolina	SC
Iowa	IA	South Dakota	SD
Kansas	KS	Tennessee	TN
Kentucky	KY	Texas	TX
Louisiana	LA	Utah	UT
Maine	ME	Vermont	VT
Maryland	MD	Virginia	VA
Massachusetts	MA	Washington	WA
Michigan	MI	West Virginia	WV
Minnesota	MN	Wisconsin	WI
Mississippi	MS	Wyoming	WY
Missouri	MO		

Country Codes

Country	Code	Country	Code
Afghanistan	AFG	Benin	BEN
Albania	ALB	Bermuda	BMU
Algeria	DZA	Bhutan	BTN
American Samoa	ASM	Bolivia	BOL
Andorra	AND	Bosnia/Herzegovina	BIH
Angola	AGO	Botswana	BWA
Anguilla	AIA	Brazil	BRA
Antigua	ATG	British Virgin Islands	VGB
Argentina	ARG	Brunei Darussalam	BRD
Armenia	ARM	Bulgaria	BUL
Aruba	ABW	Burkina Faso	BUK
Australia	AUS	Burundi	BRN
Austria	AUT	Cambodia	KHM
Azerbaijan	AZE	Cameroon	CMR
Bahamas	BHS	Canada	CAN
Bahrain	BHR	Cape Verde	CPV
Bangladesh	BGD	Cayman Islands	CYM
Barbados	BAR	Central African Rep	CAF
Barbuda	BRB	Chad	TCD
Belarus	BLR	Chile	CHL
Belgium	BEL	China	CHN
Belize	BLZ	Colombia	COL

Country Codes (cont.)

Country	Code	Country	Code
Comoros	COM	Fiji	FJI
Congo	COG	Finland	FIN
Cook Islands	COK	France	FRA
Costa Rica	CRI	French Guiana	GUF
Cote d'Ivoire	CIV	French Polynesia	PYF
Croatia	HRV	Gabon	GAB
Cuba	CUB	Gambia	GMB
Cyprus	CYP	Georgia	GEO
Czech Republic	CZE	Germany	DEU
Democratic Rep. Of Congo	COD	Ghana	GHA
Denmark	DNK	Gibraltar	GIB
Djibouti	DJI	Greece	GRC
Dominica	DOM	Greenland	GRL
Dominican Rep	DOR	Grenada	GRD
Ecuador	ECU	Guadeloupe	GLP
Egypt	EGY	Guam	GUM
El Salvador	SLV	Guatemala	GTM
Equatorial Guinea	GNQ	Guinea	GIN
Eritrea	ERI	Guinea-Bissau	GNB
Estonia	EST	Guyana	GUY
Ethiopia	ETH	Haiti	HTI
Falkland Islands	FLK	Holy See	VAT
Faroe Islands	FRO	Honduras	HND

Country Codes (cont.)

Country	Code	Country	Code
Hong Kong	HKG	Lebanon	LBN
Hungary	HUN	Lesotho	LSO
Iceland	ISL	Liberia	LBR
India	IND	Libyan Arab Jamahiriya	LBY
Indonesia	IDN	Lichtenstein	LIE
Iran	IRN	Lithuania	LTU
Iraq	IRQ	Luxembourg	LUX
Ireland	IRL	Macao	MAC
Israel	ISR	Madagascar	MDG
Italy	ITA	Malawi	MWI
Ivory Coast	IVC	Malaysia	MYS
Jamaica	JAM	Maldives	MDV
Japan	JPN	Mali	MLI
Jordan	JOR	Malta	MLT
Kazakhstan	KAZ	Marshall Islands	MHL
Kenya	KEN	Martinique / Mauritania	MRT
Kiribati	KIR	Mauritius	MUS
Korea (Democratic people’s republic)	PRK	Mayotte	MYT
Kuwait	KWT	Mexico	MEX
Kyrgyzstan	KGZ	Micronesia	FSM
Lao People Dem Rep	LAO	Monaco	MCO
Latvia	LVA	Mongolia	MNG

Country Codes (cont.)

Country	Code	Country	Code
Montserrat	MSR	Papua New Guinea	PNG
Morocco	MAR	Paraguay	PRY
Mozambique	MOZ	Peru	PER
Myanmar	MMR	Philippines	PHL
Namibia	NAM	Pitcairn Islands	PCN
Nauru	NRU	Poland	POL
Nepal	NPL	Portugal	PRT
Neth. Antilles	NAN	Puerto Rico	PRI
Netherlands	NLD	Qatar	QAT
New Caledonia	NCL	Rep of Korea	KOR
New Zealand	NZL	Rep of Moldova	MDA
Nicaragua****	NIC	Reunion	REU
Niger	NER	Romania	ROU
Nigeria	NGA	Russian Federation	RUS
Niue	NIU	Rwanda	RWA
Norfolk Island	NFK	Saint Helena	SHN
No. Mariana Islands	MNP	St. Kitts and Nevis	KNA
Norway	NOR	Saint Lucia	LCA
Occupied Palistinian Territory	PSE	St. Pierre and Miquelon	STP
Oman	OMN	St. Vincent and the Grenadines	VCT
Pakistan	PAK	Samoa	WSM
Palau	PLW	San Marino	SMR
Panama	PAN	Sao Tome and Principe	SAO

Country Codes (cont.)

Country	Code	Country	Code
Saudi Arabia	SAU	The former Yugoslav Rep of Macedonia	MKD
Senegal	SEN	Timor-Leste	TLS
Serbia and Montenegro	SCG	Tobago	TRI
Seychelles	SYC	Togo	TGO
Sierra Leone	SLE	Tokelau	TKL
Singapore	SGP	Tonga	TON
Slovakia	SVK	Trinidad and Tobago	TTO
Slovenia	SVN	Tunisia	TUN
Solomon Islands	SLB	Turkey	TUR
Somalia	SOM	Turkmenistan	TKM
South Africa	ZAF	Turks and Caicos Islands	TCA
Spain	ESP	Tuvalu	TUV
Sri Lanka	LKA	Uganda	UGA
Sudan	SDN	Ukraine	UKR
Surinam	SUR	United Arab Emirates	ARE
Svalbard and Jan Mayen Isls.	SJM	United Kingdom of Great Britain and No. Ireland	GBR
Swaziland	SWZ	Uruguay	URY
Sweden	SWE	Uzbekistan	UZB
Switzerland	CHE	Vanuata	VUT
Syrian Arab Republic	SYR	Venezuela	VEN
Tajikistan	TJK	Vietnam	VNM
Thailand	THA	Virgin Islands	VIR

Country Codes (cont.)

Country	Code	Country	Code
Wake Island	WKI	Yemen, Peoples	YEM
Wallis and Futuna Islands	WLF	Zambia	ZMB
Western Sahara	ESH	Zimbabwe	ZWE

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